

## Instructions for Filing the Third Party Administrators Annual Report

All TPAs licensed in Texas as of December 31 are required to file an annual report on or before June 30 (reference Tex. Ins. Code § 4151.205). **THERE IS NO STATUTORY PROVISION PERMITTING TDI TO EXTEND THIS DEADLINE.** If you are not doing business in Texas, but are still licensed as of the end of the year, you are required to file an annual report indicating no plans and no Texas participants. The same requirement applies to the maintenance tax filing. Even if you did not do business in Texas, you are still required to file a zero return with the Texas Comptroller. If you need to cancel the license, please submit [FIN497](#) Surrender of Third Party Administrator Certificate of Authority.

A complete annual report submission requires either form FIN486 (for third party administrators) or form FIN487 (for insurance companies/HMOs registered as TPAs); form FIN488 (Exhibits A-E); a copy of your financial statement (including FIN490, if applicable); and the \$200 filing fee, which can be submitted with fee transmittal form FIN321. All forms are available at <https://www.tdi.texas.gov/forms/form5tpa.html>. All forms can be sent via email, except the FIN321 with filing fee.

### FOR TPAs FILING FIN486:

- Complete the TPA annual report workbook, but do not complete tab FIN487. The workbook can be accessed from the forms page, or linked to directly here: <https://www.tdi.texas.gov/forms/fincolicense/tpaanlrptwkb.xlsx>
  - Make sure you transfer the totals from the exhibits to Section 5 of tab FIN486.
  - Be sure to date and sign the form electronically. (Please note PDF version of FIN486 remain available on the forms page, but this form is already included in the workbook.)
- Email the completed workbook, and a copy of your current financial statement (including [FIN490](#), if applicable) to [CLRFilings@tdi.texas.gov](mailto:CLRFilings@tdi.texas.gov).
- Mail the \$200.00 filing fee with TDI form [FIN321](#) to the address on the form.

### FOR INSURERS/HMOs FILING FIN487:

- Complete the TPA annual report workbook, but do not complete tab FIN486. The workbook can be accessed from the forms page, or linked to directly here: <http://www.tdi.texas.gov/forms/fincolicense/tpaanlrptwkb.xlsx>
  - Make sure you transfer the totals from the exhibits to Section 4 of tab FIN487.
  - Be sure to date and sign the form electronically. (Please note PDF version of FIN487 remain available on the forms page, but this form is already included in the workbook.)
- Email the completed workbook to [CLRFilings@tdi.texas.gov](mailto:CLRFilings@tdi.texas.gov). (TDI recommends electronic submissions, but accepts paper mailings as necessary.)
- Mail the \$200.00 filing fee with TDI form [FIN321](#) to the address on the form.

## TPA ANNUAL REPORT FAQ

### **Can we get an extension of the June 30 deadline?**

Texas Insurance Code section 4151.205 requires licensed TPAs to file an annual report on or before June 30 of each year. Compliance with this date is determined by the date the report information is emailed, and the postmark on the \$200 filing fee. (The fee can only be accepted by mail; future enhancements to this process will permit electronic payments to satisfy the filing fee.) There is no statutory provision for extensions to this deadline. If your report is incomplete, submit as much of the report as possible by the deadline and let us know when to expect the missing information.

### **How do I complete my maintenance taxes with the Texas Comptroller?**

The maintenance tax can be completed and filed via the Comptrollers online portal "webfile". Or the forms can be downloaded from <https://comptroller.texas.gov/taxes/insurance/tdi.php>. The maintenance tax filing is due March 1 of each year. Administrators should report compensation for Texas business on Line 11 of the form. These forms must be submitted to the Comptroller; TDI does not require a copy of these reports.

### **We have not contracted with any groups/plans in Texas but have clients that have Texas residents receiving benefits. Do we need the TPA license to pay claims or collect premiums?**

The Texas TPA statute requires the administrator to be licensed if you pay claims or collect premiums for Texas residents regardless of where the plan is issued/located.

### **We have had this license for some time but currently have no accounts in Texas. Do we need to file a report? Yes.**

All licensed administrators are required to file a report and financials (see Texas Insurance Code Section 4151.205 and Texas Administrative Code Section 7.1609). Failure to file the annual report may subject the administrator to disciplinary action (see TIC Section 4151.301 and TAC Section 7.1616)

### **We are administering hundreds of individual policies on behalf of several insurance companies. Do I need to list each one on Exhibit A?**

No. Please list the carriers and enter "various" under policy no. and policy effective date.

### **Exhibit A, Column (K), requests "TOTAL NO. CLAIMS PAID - LAST 12 MO" – do you want dollar amounts?**

No. Please enter the total number of claims paid. That number should include those claims that were adjudicated but no check was issued.

### **► Questions?**

Email us at [CompanyLicense@tdi.texas.gov](mailto:CompanyLicense@tdi.texas.gov) or call 512-676-6365.